



12-10-01

0360

Patent  
Attorney Docket: 262/016

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Frank S. Yuan

Serial No.: 09/918,334 ✓

Filed: July 30, 2001

For: Innovative Financing Method and  
System Therefor

Group Art Unit: 2161

Examiner: Not Yet Assigned

PRELIMINARY AMENDMENT

BOX PATENT APPLICATION  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

Before considering the merits of the above-identified application, please incorporate  
the following:

LA-216099.1

CERTIFICATE OF MAILING  
(37 C.F.R. §1.10)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as 'Express Mail Post Office To Addressee' in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

EL360342907US  
Express Mail Label No.

November 06, 2001  
Date of Deposit

Rachel Marquez

Name of Person Mailing Paper

Signature of Person Mailing Paper



Patent  
Attorney Docket: 262/016

IN THE SPECIFICATION

Replace the paragraph at page 13 beginning at line 13 with the following paragraph:

Figure 2 is a flowchart comprising figures 2A-2C describing an auction from the viewpoint of a financial institution that will provide some form of payment guarantee to sellers, and who may pre-qualify buyers before they bid at the auction

Respectfully submitted,

LYON & LYON <sup>LLP</sup>

Dated: NOVEMBER 6, 2001

By: 

Theodore S. Maceiko  
Reg. No. 35,593

633 West Fifth Street, Suite 4700  
Los Angeles, California 90071-2066  
(213) 489-1600



Patent  
Attorney Docket: 262/016

VERSION OF AMENDMENTS WITH MARKING TO SHOW CHANGES MADE

In the Specification

Replace the paragraph at page 13 beginning at line 13 with the following paragraph:

Figure 2 is a flowchart comprising figures 2A-2C describing an auction from the viewpoint of a financial institution that will provide some form of payment guarantee to sellers, and who may pre-qualify buyers before they bid at the auction

2001-11-06 14:55:50



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PRELIMINARY AMENDMENT AND SUBSTITUTE DRAWINGS TRANSMITTAL

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Transmitted herewith are the following:

- 1) Preliminary Amendment in Response to Notice to File Corrected Application

Papers;

- 2) Substitute Drawings (10 sheets)
- 3) Copy of Notice to File Corrected Application Papers

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(37 C.F.R. §1.10)

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Signature of Person Mailing Paper

- 4) Return receipt-acknowledgment postcard.

The Commissioner is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Lyon & Lyon's Deposit Account No. **12-2475**.

Respectfully submitted,

LYON & LYON LLP



By: \_\_\_\_\_

Theodore S. Maceiko  
Reg. No. 35,593

Dated: November 6, 2001

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